

# What You Need to Know about

## WIOA State Plan Submission

Presented by  
the Monitoring and Administration Team, DAEL

Hosted by  
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Office of Career, Technical, and Adult  
Education

U.S. Department of Education

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# Final WIOA Unified and Combined State Plan Requirements Available

States must use the Information Collection Request (ICR) for the WIOA Unified and Combined State Plans Requirements. These documents reflect the incorporation of public comments received from the publication of the August 6 Federal Register notice prepared by DOL, ED, HUD, HHS, and USDA.

[http://www.doleta.gov/WIOA/docs/WIOA\\_State\\_Plan\\_ICR\\_O  
MB\\_Passback\\_Plus\\_Supplement.pdf](http://www.doleta.gov/WIOA/docs/WIOA_State_Plan_ICR_O<br/>MB_Passback_Plus_Supplement.pdf)

## Slide 2

The final ICR has been approved by the Office of Management and Budget! You'll find a link to the ICR on OCTAE's WIOA page at

<http://www2.ed.gov/about/offices/list/ovae/pi/AdultEd/wioa-reauthorization.html>.

Or you can access it at

<http://www.doleta.gov/WIOA/docs/>

[WIOA State Plan ICR OMB Passback Plus Supplement.pdf](#).

The state plan submission portal will be live soon.

# What to Expect from this Webinar

1. Timeline for state plan submission
2. Common elements of State unified and combined plans
3. Requirements specific to AEFLA
4. Adult education performance goals (Appendix 1)
5. The submission process: Accessing and using the online portal

### Slide 3

No speaker notes.

# WIOA Timeline: Key Dates

**3/3/16:** Statutory deadline for submitting state plans

**3/3/16:** Performance Negotiation webinar

**3/24/16:** Integrated English Literacy and Civics Education webinar

**4/1/16: Last day state plan submissions considered timely (under Orderly Transition Authority)**

**4/14/16:** Procurement and Competitions webinar

**4/21/16:** Subrecipient Monitoring webinar

#### Slide 4

The statutory deadline to submit state plans is March 3. However, State plans submitted by April 1 will be considered “on time.”

Other key dates on this slide include a series of technical assistance webinars we are providing in March and April. All webinars are scheduled for 2 p.m. ET.

# Unified versus Combined Plans

UNIFIED PLANS must include the six core programs:

1. Adult program (Title I, DOL)
2. Dislocated Worker program (Title I, DOL)
3. Youth program (Title I)(DOL)
4. **Adult Education and Family Literacy Act program (Title II, ED)**
5. Wagner-Peyser Services program (Title III, DOL)
6. Vocational Rehabilitation program (Title IV, ED)



## Slide 5

Unified Plans must include the six core programs listed here.

## Unified versus Combined Plans, continued

COMBINED PLANS must include the 6 core programs PLUS one or more of the following 11 partner programs:

1. Carl D. Perkins Career and Technical Education Act (ED)
2. Temporary Assistance for Needy Families (HHS, TANF)
3. Program Employment and Training Programs under the Supplemental Nutrition Assistance Program (SNAP) work programs (USDA)
4. Work programs authorized under the Food and Nutrition Act (USDA)
5. Trade Adjustment Assistance for Workers Programs (DOL)
6. Jobs for Veterans State Grants program (DOL)

## Slide 6

Combined plans must include the same 6 core programs as Unified plans plus one or more of the 11 partner programs listed here and on the next slide.

## Combined Plans, continued

7. Unemployment Insurance programs (DOL)
8. Senior Community Service Employment Program (DOL)
9. Department of Housing and Urban Development (HUD)  
employment and training activities (HUD)
10. Community Services Block Grants (HHS)
11. Reintegration of Ex-Offenders Program (DOL)

## Slide 7

No speaker notes.

# State Plan Content

- I. Plan Composition
- II. Strategic Elements
- III. Operational Planning Elements
- IV. Coordination with Combined State Plan Programs
- V. Common Assurances
- VI. Program-Specific State Plan Requirements for Core Programs

Appendix 1. Performance Goals for the Core Programs

## Slide 8

State Plans include these six major components plus Appendix I.

We'll go a little deeper into each component on the next few slides. Please refer to the Required Elements ICR for an in-depth description of what to include in each of these components.

## State Plan Content, continued

### **Strategic Elements (Section II)**

- Analysis of Economic, Workforce, and Workforce Development Activities
- State Strategic Vision and Goals
- State Strategy

### **Operational Elements (Section III)**

- State Strategy Implementation
- State Operating Systems and Policies



## Slide 9

Section II includes analysis of activities as well as the state vision, goals, and strategy.

Section III includes how the state strategy will be implemented, with details on operating systems and policies.

## State Operating Systems and Policies, continued

- Methods and Factors for Distributing Funds for Core Programs
  - Describe the methods and factors the State will use to distribute funds for core programs.

Explain:

- How the State will award multi-year grants or contracts, including how applicants' demonstrated effectiveness will be established.
- How the State will ensure that all eligible providers have direct and equitable access to apply for/compete for funds.
- How the State will ensure that the same funding announcement process is used for all eligible providers.

## Slide 10

The Operational Elements section also includes an explanation of the methods and factors your State will use to distribute funds for the core programs. The language on this slide comes directly from the ICR.

The definition of eligible provider has changed under WIOA. This section of the plan must address how the State intends to implement the new definition, including how it intends to determine whether an applicant meets the standard of “demonstrated effectiveness.”

You may remember that in the proposed rule published last summer, we provided our best thinking on how eligible providers will be required to demonstrate effectiveness. When the rules are finalized, any plan that does not meet the requirement as established in the final rule will need to be modified to conform with the final rule.

## State Plan Content, continued

### **Coordination with Combined State Plan Programs (Section IV)**

- Combined State Plans must describe the methods used for joint planning and coordination of the core programs and the other programs and activities covered by the plan.

### **Common Assurances (Section V)**

## Slide 11

Section IV applies to Combined State Plans only.

The 12 Common Assurances (Section V) are spelled out in the ICR for Required Elements of State Plans and on the submission portal. You will incorporate these into your plan via checkboxes on the state plan submission portal.

# State Plan Elements Relevant to Title II

Describe HOW the State will:

- **Align adult education content standards** with ESEA content standards **by July 1, 2016.**
- **Fund local activities** to establish and operate adult education programs
- Establish and operate programs for **corrections education** and education of other institutionalized individuals

## Slide 12

For the content standards, you may want to include information about the sets of standards you are implementing or planning on implementing, whether you already have standards aligned to your State's k-12 standards, or if you do not, how you are going to have a set of standards that are aligned by July 1, 2016. You may want to describe the process by which you will achieve a set of aligned standards, address stakeholder involvement in the process or other information that helps us to understand how you will accomplish this requirement.

The funding local activities, describe how you will fund each eligible provider to establish or operate the adult education and literacy activities listed in the statute. We will be using this information to determine which of the listed activities your State is considering to be allowable in your State. These are the activities that should be reflected in your grant competitions. Any activity or program not listed in the plan would not be allowed to be established or operated through your local grants. Each activity or program listed needs to include definitions of the activities that are consistent with how they are described in the Act. Please note important mentions of activities that are offered concurrently and include information about scope, content, and organization. You may want to describe scope, content, and organization in relation to your content standards.

For corrections education, the requirement is for you to address the list of academic programs under section 225 in a similar manner to what we described above for local activities above. Also, note the requirement to address the priority of service, as well as to describe how you will issue grants and contracts for eligible providers.

## Title II State Plan Elements, continued

Describe HOW the State will:

- Establish, operate, and deliver **Integrated English Literacy and Civics Education** (IELCE or section 243) for adult English language learners in combination with integrated education and training activities.
- Use funds to carry out required and permissible **State Leadership** activities.



### Slide 13

We are asking for a description for how you plan to establish, operate, and deliver programs under section 243. This section must include how you will award funds and how the funds will be used.

Please note that two of the narrative descriptions contained in the proposed ICR have been changed to assurances in the final ICR.

State Leadership now has four required activities in addition to the permissible activities. This is new! The plan must describe how you will use State leadership funds to carry out these four required activities. You may also generally describe how you will use State leadership funds to fund other permissible activities.

## Title II State Plan Elements, continued

Describe HOW the State will:

- **Assess quality** of providers of adult ed and literacy activities under title II and take actions to improve such quality, including providing the activities described in section 223(a)(1)(B) of WIOA.
  - 223(a)(1)(B) The establishment or operation of high quality professional development programs to improve the instruction provided pursuant to local activities required under section 231(b), including instruction incorporating the essential components of reading instruction as such components relate to adults, instruction related to the specific needs of adult learners, instruction provided by volunteers or by personnel of a State or outlying area, and dissemination of information about models and promising practices related to such programs.

#### Slide 14

This is another new requirement. In your State plan, you must describe how you will assess the quality of providers of adult education and literacy and how you will take action to improve such quality.

In this section of your plan, the statute and ICR require that you specifically address section 223(a)(1)(B) of WIOA, which speaks to the establishment or operation of high quality professional development programs. This slide contains the statutory language for your reference.

# Certifications and Assurances

- Check the boxes for each of the 8 certifications and 6 assurances that are specific to AEFLA.
- Two assurances related to Integrated English Literacy and Civics Education (IELCE) were added to the Required Elements ICR after the first 60-day comment period:
  - The IELCE program will be delivered in combination with integrated education and training activities.
  - The IELCE program will be designed to (1) prepare adults who are English language learners for, and place such adults in, unsubsidized employment in in-demand industries and occupations that lead to economic self-sufficiency and (2) integrate with the local workforce development system and its functions to carry out the activities of the program.

## Slide 15

These 8 certifications and 6 assurances are spelled out in the final ICR and on the portal, where you will check a box to say “Yes” to these certifications and assurances. Please be sure that you check them all.

These are the two new assurances for Integrated English Literacy and Civics Education that were added to the Required Elements ICR after the 60-day comment period.

# Assurances, continued

## Assurances

The State Plan must include assurances that:

1. The eligible agency will expend funds appropriated to carry out title II of the Workforce Innovation and Opportunity Act (WIOA) only in a manner consistent with fiscal requirements under section 241(a) of WIOA (regarding supplement and not supplant provisions).
  2. The eligible agency will ensure that there is at least one eligible provider serving each local area, as defined in section 3(32) of WIOA.
  3. The eligible agency will not use any funds made available under title II of WIOA for the purpose of supporting or providing programs, services, or activities for individuals who are not “eligible individuals” within the meaning of section 203(4) of WIOA, unless it is providing programs, services or activities related to family literacy activities, as defined in section 203(9) of WIOA.
  4. The Integrated English Literacy and Civics Education program under section 243(a) of WIOA will be delivered in combination with integrated education and training activities;
  5. The Integrated English Literacy and Civics Education program under section 243(a) of WIOA will be designed to (1) prepare adults who are English language learners for, and place such adults in, unsubsidized employment in in-demand industries and occupations that lead to economic self-sufficiency and (2) integrate with the local workforce development system and its functions to carry out the activities of the program; and
  6. Using funds made available under title II of WIOA to carry out a program for criminal offenders within a correctional institution, the eligible agency will give priority to serving individuals who are likely to leave the correctional institution within five years of participation in the program.
1. [Grants.gov – Certification Regarding Lobbying](http://www2.ed.gov/fund/grant/apply/appforms/appforms.html) (<http://www2.ed.gov/fund/grant/apply/appforms/appforms.html>)
  2. [SF LLL Form – Disclosure of Lobbying Activities](http://www2.ed.gov/fund/grant/apply/appforms/appforms.html) (required, only if applicable) (<http://www2.ed.gov/fund/grant/apply/appforms/appforms.html>). If applicable, please print and email to [MAT\\_OCTAE@ed.gov](mailto:MAT_OCTAE@ed.gov)

**NEW:** The Certification Regarding Lobbying is now embedded in the portal and you will complete it online.

If you need to submit the SF LLL Form, please print, sign, scan, and email it to [OCTAE\\_MAT@ed.gov](mailto:MAT_OCTAE@ed.gov).

## Slide 16

In the past, States submitted hard copies of these two forms. Now the first form will be handled through the portal and the second form, if applicable, will be processed outside of the portal.

States will enter the information contained on the Certification Regarding Lobbying form into data fields on the state plan portal.

If the second form, the SF-LLL Disclosure of Lobbying Activities form, is applicable to your state, you will need to print it, sign it, scan, and email to [OCTAE\\_MAT@ed.gov](mailto:OCTAE_MAT@ed.gov).

# Performance Goals (Appendix 1)

- Plan Requirement: Include expected levels of performance for primary indicators of performance for the first two years of the plan.
- Departments will negotiate adjusted levels of performance for primary indicators with each core program.

Guidance will be provided via the Performance Negotiation webinar on March 3.



## Slide 17

States will include expected levels for primary indicators of performance in Appendix 1 on the portal. Each federal office will negotiate adjusted levels of performance for these indicators with its respective State core program offices as you have in the past.

More details on the negotiation process will be covered on the webinar scheduled for next Thursday, March 3, at 2 p.m.

# Performance Goals: Baseline Indicators

- Baseline indicators are those for which a state is not likely to have adequate data on which to make a reasonable determination of an expected level of performance.
- Baseline indicator adjusted levels of performance will not be negotiated with Departments.
- Baseline indicator data will not be used for end-of-year performance calculations.
- However, States **must** collect and report performance data on **ALL** indicators, including baseline.

## Slide 18

The Departments are using “transition authority” to designate certain indicators as baseline.

The Required Elements ICR spells out which performance indicators are considered baseline for each core program.

## Baseline Indicators, continued

Adult Education data collected during the first two years of the plan for the following indicators will serve as a baseline for future years:

1. Employment in the 2nd quarter
2. Employment in the 4th quarter
3. Median Earnings
4. Credential Attainment

## Slide 19

These are the four baseline indicators for adult education.

The data you collect for these four indicators during years 1 and 2 of the plan will be your baseline for setting targets in future years.

The final rule will contain additional information on how the sixth indicator – effectiveness in serving employers – will be implemented.

## Performance Goals, continued

**Table 5. Measureable Skill Gains**

Program	PY 2016 Proposed/ Expected Level	PY 2016 Negotiated/ Adjusted Level	PY 2017 Proposed/ Expected Level	PY 2017 Negotiated/ Adjusted Level
Adults	Baseline			
Dislocated Workers	Baseline			
Youth	Baseline			
Wagner-Peyser / Labor Exchange	n/a	n/a	n/a	n/a
Adult Education				
Rehabilitative Services				

Edit

The only Title II expected level of performance required in Appendix 1 is for the **Measureable Skill Gains** (MSG) indicator, which Title II grantees already collect and report.

## Slide 20

The only Adult Education indicator that a State must address in Appendix 1 is Measurable Skill Gain.

A State must submit its expected level of performance for that indicator. OCTAE will negotiate an adjusted level of performance on MSG once the plan is submitted.

The Performance Negotiation webinar next Thursday (March 3) will offer more information, including a worksheet to assist in the negotiation.

# The State Plan Submission Portal

The Department of Education has created a web portal for submitting state plans.

- Individual State agencies can insert their portions of the plan into the portal independently.
- Each State will designate one person with authority to submit the entire plan via the portal.
- The portal is organized to follow the OMB-approved Information Collection format.
- You can paste formatted MS Word text into the plan as well as 508-compliant spreadsheets.
- The portal converts text into simple HTML code and checks for accessibility issues.
- For details on navigating the portal, refer to “Using the Unified State Plan Portal” under Help.



## Slide 21

This portion of this webinar focuses on the web portal through which States will submit their plans.

# Accessing the Portal

## WIOA State Plan Portal

The on-line portal for the WIOA State Plan for WIOA.

WIOA State Plan

### Request Access — Step 1

#### Step 1 of 5 - Please provide identifying information

To whom do you report information (select one)?

Please provide us with the means to contact you.

Information about you

First Name:

Last Name:

State:

Phone:

E-mail:

Alabama

ED/OSERS/RSA - Rehabilitation Services Administration  
ED/OSERS/RSA - Rehabilitation Services Administration  
DOL/ETA - Employment and Training Administration  
DOL/VETS - Veterans Employment and Training Service  
ED/OCTAE/CTE - Office of Career, Technical, and Adult Education  
**ED/OCTAE/DAEL - Office of Career, Technical, and Adult Education**  
HHS/ACE - Administration for Children and Families  
HHS/ACL - Administration for Community Living  
HUD/ - HUD  
USDA/FNS - Food and Nutrition Service

Continue

- Obtain access to the portal at <https://rsa.ed.gov/request-access.cfm?usp=Y>. (Internet Explorer is recommended.)
- From the dropdown list, select ED/OCTAE/DAEL.

## Slide 22

You must request access to the State Plan Submission Portal. This is a multi-step process, which we've detailed here and on the slides that follow. We encourage you to begin this process as soon as this webinar concludes.

You begin by accessing the portal at <https://rsa.ed.gov/request-access.cfm?usp=Y>.

# Portal Access, continued

## Request Access — Step 2

### Step 2 of 5 - Select the program(s) you work with

Select at least one. We suggest you select the most important program (you may add more later).

Programs you work with

☒ Adult Education and Literacy Program (Title II)

Continue

- Check the box for Adult Education.
- Click on Continue.

## Slide 23

No speaker notes.

# Portal Access, continued

## Request Access — Step 3

### Step 3 of 5 - Select the grantee

Check each grantee you need to report on. You MUST select at least one grantee.

Grantees you work with

☒ Alabama Community College System

Proposed user ID: DAELALSEDGWICKK

Continue

- Select the ‘Grantee’ you need to report on.
- Click Continue.

## Slide 24

No speaker notes.

# Portal Access, continued

## Request Access — Step 4

### Step 4 of 5 - Select the forms

For each program, select the form or forms you need to report on. Check READ ONLY or EDIT as appropriate. Note: some of the programs you selected because the organizations you selected don't have grants in these programs. Make the best possible selections now to get an ID set up - you will need an account.

#### Adult Education and Family Literacy Act program

Form	Grantee	Read only	Edit only (may not submit)	Edit and Submit
WIOA-Adult-ED-Lit	DEPT OF EDUCATION VERMONT	<input type="radio"/> Read only	<input type="radio"/> Edit only (may not submit)	<input type="radio"/> Edit and Submit

Continue

- For each form, select the desired access level. Note: If you select Read only, you will not be able to post any text or revise existing text.
- Click Continue.



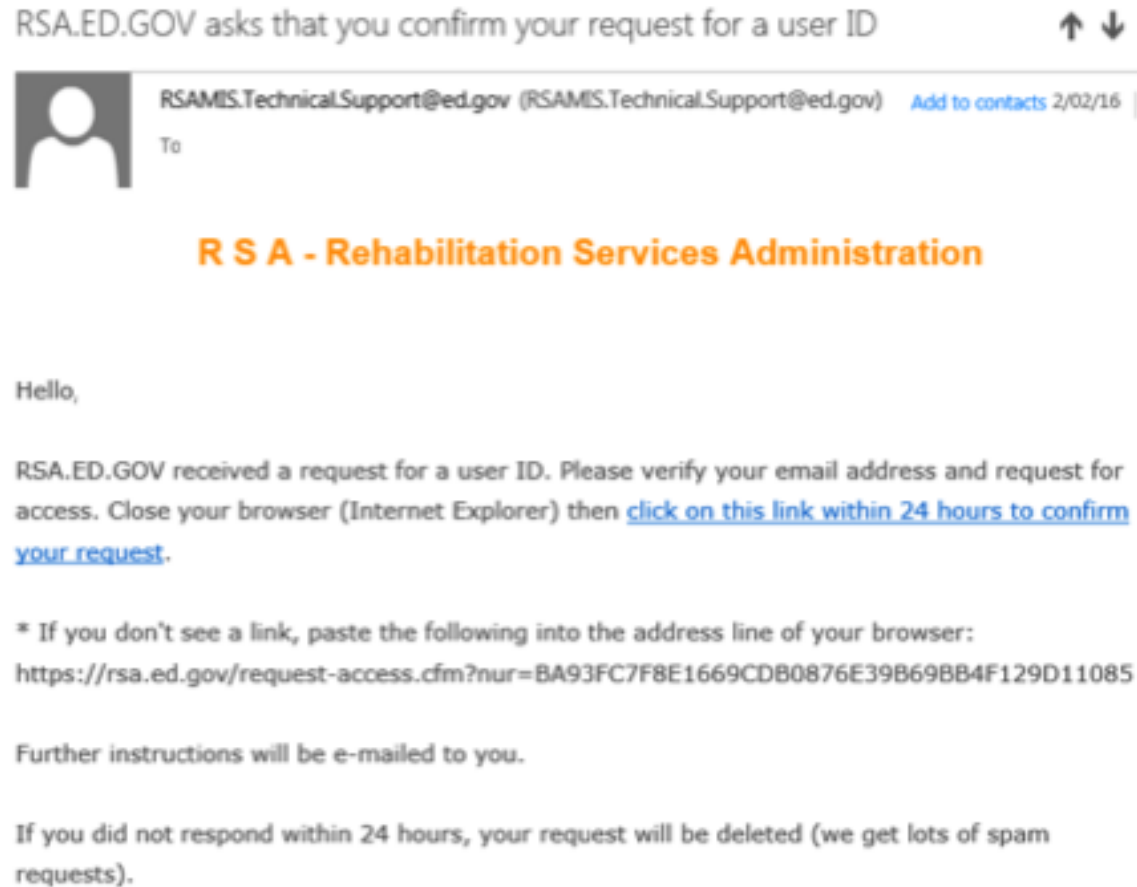
## Slide 25

Please select the appropriate level of access for your account.

Remember only one person will be designated the Governor's authority to submit the plan to DOL.

# Portal Access, continued

- You will receive an automated message asking you to confirm your request for access to the portal.
- Click on the link in the email within 24 hours.
- You will receive an email containing your login and temporary password within 1-2 business days.



## Slide 26

Next, the portal system will generate an email asking you to confirm your request for access. You must click on the link in the confirmation email within 24 hours; otherwise, the system will not process your request for access and you will have to start the process over from Step 1.

Be sure you check your spam folder for this message.

After you complete this process and the portal goes “live,” you should receive an email with your user ID and a temporary password within 1-2 business days. That’s another reason to start the access request process now. Get your request into the queue!

# More Portal Help

## Contact information

The email we have on file for you is

and the phone number we have is:

[Update your name, phone, and/or email.](#)

## Where would you like to go?

[Continue to Data Entry](#) [Continue to Home](#)

### WIOA Partner sites

DOL/ETA  
ED/OSERS/RSA  
ED/OCTAE  
HUD  
ED.GOV

### Unified State Plans

Data Entry  
Entire plan  
Title-I B  
Wagner-Peyser Act State Plan  
Adult Education and Literacy  
VR

### Combined State Plans

Data Entry  
Perkins  
TANF  
SNAP  
TAA  
Job for Veterans  
Unemployment Insurance  
Senior Community Service  
HUD Employment and Training  
CSBG  
Reintegration of Ex-Offenders

### Tools

Ad hoc query

### Help

About  
Accessibility  
Change your password  
Disclaimer  
FAQs  
Get plug-ins  
Privacy  
Rules of Behavior  
Technical Support  
Using the Unified State Plan Portal

You can read more about navigating and entering data into the portal under Help on the portal page.

## Slide 27

You will find more details on using the portal under the Help menu. Start by reading through “Using the Unified State Plan Portal.” Answers to other technical questions are provided under Technical Support.

# Portal Help, continued

## Technical Support

The system indicates you are logged in. Many common problems can be resolved immediately. Choose the option that best describes your issue.

⌵ How do I create accessible documents in MS Word?

⌵ Text boxes don't appear for my narratives

⌵ What is the difference between ALLOW BASIC EDITING and ALLOW RICH TEXT EDITING?

⌵ Page 2 of my SF-425 does not print

⌵ Have a comment or suggestion?

⌵ Using the Unified State Plan Portal

⌵ Update my name, phone number, and/or email address

⌵ I need to enter data on a form that isn't listed on my Data Entry screen, or I need to upgrade my access

### Add or remove a form to your account - or change access

In some cases, you can upgrade your own access. We allow people to add forms to their account in some cases. To do this, you may add access if you already have access to the grantee and the program. Click the button below to try to add access to your account. If the form you need does not show up on the subsequent screen, return to Technical Support and choose the 'None of these options describes my problem' option..

Try to add access

## Slide 28

For those of you who have multiple program responsibility, you'll find instructions on how to request Edit access to those other plan sections under Technical Support.

Open Technical support. Click to expand "I need to enter data on a form..." and then click on "Try to add access."

Additional information about the portal is also available via a state plan webinar that was recorded by DOL and ED recently. We will forward details on how to access that recording as soon as it becomes available in the very near future.

# Portal Log On

[Skip to main content](#) | [Home](#) | [Log on](#)

## WIOA State Plan Portal

The on-line portal for the WIOA State Plan for WIOA.  
WIOA State Plan

[About RSA](#) | [Funding](#) | [Reports](#) | [Help](#)

» RSA's mission

» Workforce Innovation and Opportunity Act (WIOA)

» About your state

Find out about RSA programs in your state. Choose a state from the drop-down box and click GO, or click your state on the map.

Alabama

Go

### How do I find...?

- » Legislation and policy
- » Info about WIOA
- » Data entry
- » Ad hoc query
- » Get E-mail from RSA
- » Info for new users
- » Info for SRCs



## Slide 29

Once you've obtained initial access to the portal and set up your new password, you will need to log onto the system each time you enter the portal. The Log on button is in the upper right corner of the screen.

## **Coming Soon: More Technical Assistance**

Mark your calendars!

- Performance Negotiations - March 3
- Integrated English Literacy and Civics Education - March 24
- Procurement and Competitions - April 14
- Sub-recipient Monitoring - April 21

All webinars will begin at 2 p.m. ET.

### Slide 30

As a reminder, these technical assistance webinars are scheduled for the coming weeks. These webinars are coming up quickly, and the information may be useful during the revision process, if any changes are necessary.

# Technical Assistance Contacts

Karla Ver Bryck Block, Team Leader  
202-245-6836, [Karla.Verbryckblock@ed.gov](mailto:Karla.Verbryckblock@ed.gov)

## Area Coordinators

- Teresa Bestor, Area I, 202-245-6402, [Teresa.Bestor@ed.gov](mailto:Teresa.Bestor@ed.gov)
- Sharon Harrington, Area II, 202-245-7709, [Sharon.Lankford@ed.gov](mailto:Sharon.Lankford@ed.gov)
- Rebecca Moak, Area III, 202-245-7807, [Rebecca.Moak@ed.gov](mailto:Rebecca.Moak@ed.gov)
- Zina Watkins, Areas IV and V, 202-245-6197, [Zina.Watkins@ed.gov](mailto:Zina.Watkins@ed.gov)

## State Plan Submission Access

- Kenneth Kalman, 202-245-7529, [Kenneth.Kalman@ed.gov](mailto:Kenneth.Kalman@ed.gov)

## Slide 31

You can also contact your area coordinator for technical assistance. And Kenny Kalman will be processing your requests for access to the state plan portal.

Thank you for your attention. -

This ends today's presentation of "What you need to know about WIOA State Plan Submission." -